

GO Markets International Ltd

Compliant Handling Policy

Version: 001

Date: 07/02/2022

Owner: Compliance



Contents

1. Introduction.....	3
2. Definition	3
3. Submitting a Compliant.....	3
4. Registration of Complaints.....	3
5. Managing Complaints	4
6. Response to Complaints.....	4
7. Monitoring of Complaints	4
8. Settlement of Disputes.....	5



1. Introduction

GO Markets International Ltd (“Company”) has created this policy to regulate effective, clear and fast handling of complaints submitted to the Company in relation to the performance and procedures of the Company.

2. Definition

- a. Complaints are defined as specific requests or claims related to the performance, services or products of the Company, which objects the performance or expresses negligence of the Company and lodges a relevant, specific and clear demand.
- b. The Complainant could be a natural or legal person, a company without legal entity or other organization that requires services of the Company or the addressee of information or offer related to the service.

When the complaint is submitted by a representative or other duly authorized person, the Company will investigate the legal basis of the submission, which must be presented by the Complainant

3. Submitting a Compliant

The Complaint, if possible, should report the event or the date of the occasion subject of the complaint to the Company as soon as possible. This is necessary to enable the Company to investigate the complaint as efficiently as possible.

The following options are available for submitting a complaint to the Company:

- i. By mail
- ii. By telephone
- iii. By email

Customer service employees shall receive complaints within the Company and shall help the Complainant in submitting the complaint. The Complainant must submit complaints related to services rendered on the basis of online trading agreement to the aforementioned options above. Contact details are available on the website at all times. If a Customer Service employee is unable to settle the complaint efficiently or within 48 hours, they forward the complaint to the Compliance Officer of the Company.

If the complainant wishes to submit a complaint in writing via email or mail, please attach, if possible, copies of documents supporting the complaint.

4. Registration of Complaints

The Company shall register all complaints until they are dealt with. This shall record at least the following information:

- i. Description of the complaint,
- ii. Description of the event or fact subject of the complaint,
- iii. Date of submitting the complaint,
- iv. Measures implemented to settle or solve the complaint,
- v. In case of rejection of settlement, the reasoning of rejection.
- vi. Deadline of managing the complaint,
- vii. Name of the person responsible for the execution,
- viii. Date of responding to the complaint.

The Company pays special attention to avoid collection of data about the complaint with the exception of recording data aimed to settle the complaint. All personal particulars obtained in relation of managing the complaint shall be deleted from records or made unsuitable for identification.

The Company manages complaints within a transparent system; they could be traced and administered in each and every stage of the procedure. Unless settled on the spot, the Company records a written statement on all verbally submitted complaints. For this purpose, the Company is required to use a complaint register to record complaints electronically.



The Company records all telephone conversations between the Customer Service and the Complainant and keeps the voice record for the period of one year. The Complainant is informed about this at the beginning of the conversation.

5. Managing Complaints

The Company manages all complaints and Complainants equally, without any discrimination, in harmony with the procedure regulated by this Policy.

The Complaints are handled by:

a. Customer Service

If possible, all complaints must be settled without delay. If immediate settlement of a verbal complaint is not possible or the Complainant rejects the solution offered on the spot, an employee of the Company shall record the complaints and the Company's position in a memorandum and forward them to Customer Service, unless the complaint was submitted directly to Customer Service. Similarly, Company employees forward all complaints in writing to Customer Service. Customer Service shall be responsible for settling complaints. The officers of the Customer Service team will inform you of the appropriate process to follow.

We aim to resolve the matter within five (5) business days depending on the nature of the complaint and ensure that the maximum time to respond to complaints do not exceed 30 days.

b. Compliance officer

If Customer Service employees are unable to settle the complaint efficiently or within a short period of time, they forward the complaint to the Compliance Officer of the Company. If the Complainant does not accept the solution offered by Customer Service, they are also entitled to approach the Compliance Officer directly.

c. Directors of the Company

Within the organisation of the Company, Directors of the company represent the highest level of authority in deciding the settlement of complaints. Directors of the Company shall settle those complaints which cannot be managed within the above procedure; they shall consider the opinion of the Compliance Officer of the Company.

6. Response to Complaints

The Company follows the outlined procedures to ensure that the Complaint is resolved within a period of thirty (30) business days. This response, including the reasoning, is always mailed or emailed to the Complainant. Some complaints can be resolved more quickly depending on the facts and the nature of the complaint. If the complaint is more complex and takes longer than thirty (30) business days to resolve, we will communicate the reasons for the delay. Sometimes you are requested to supply additional information required for investigating the complaint.

When the complaint is submitted by another person or with a method unsuitable for establishing proper authorisation of the submission, the Company may ask the person authorised to submit the complaint to confirm the complaint in question.

The Company adds a correct, clear and unanimous reasoning to every decision brought down in order to settle complaints, which are mailed/emailed to the Complainant in writing. If the decision refers to legislation, not only the legislation, but its relevant regulations must also be included in the above reasoning. In parallel with informing the Complainant about the decision in question, the Company informs the Complainant about the opportunities of appeal and possible damage compensation.

7. Monitoring of Complaints

After settling the procedure, the Company shall preserve every written or electronic documents related to complaints for a period of 7 years. The Company shall be entitled to prepare statistics and reports about complaints, which will be aimed to improve efficiency of administering complaints.



8. Settlement of Disputes

When disputes between the Company and the Complainant cannot be settled by the official procedure, regulations of chapter “Settlement of Disputes” of the Company Rules and Regulations shall be applicable. When the complaint is rejected, the Complainant may lodge an appeal at the Financial Services Authority Seychelles